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016422/0142**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Serial No.: 09/931,149

Date of Deposit: November 11, 2003

Applicant: David Rios

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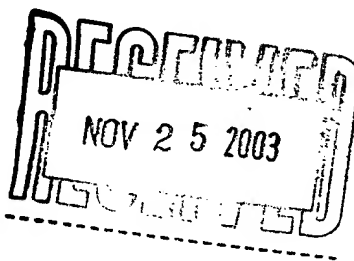
Filed: August 16, 2001

By Anna Vishev  
Anna Vishev

Title: METHOD AND SYSTEM FOR MANAGING A MORTGAGE-BACKED SECURITIES INDEX

Examiner: TBD

Art Unit: 2164

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**RECEIVED**  
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**GROUP 3600****INFORMATION DISCLOSURE STATEMENT**  
**PURSUANT TO 37 C.F.R. § 1.97**

SIR:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby submits an Information Disclosure Statement for consideration by the Examiner.

I. The patents, publications and other information submitted for consideration by the Office (except unpublished U.S. patent applications) are listed on Form 1449 attached hereto.

II. Copies

1. X Submitted herewith is a legible copy of (i) each U.S. patent application publication and U.S. and foreign patent; and (ii) all other information or that portion which caused it to be listed.
2. \_\_\_\_\_ Any patents, publications or other information which are listed on Form 1449 or on the copies of PTO-892, but which are not enclosed herewith, were previously cited by or submitted to the PTO on one of the following applications which has been relied upon for an earlier filing date under 35 U.S.C. § 120:

U.S. Serial NumberU.S. Filing Date

3. \_\_\_\_\_ This is a PCT application in the entry of the National Phase in the United States. A copy of the International Search Report is attached for the Examiner's information. The documents listed on the International Search Report are listed on the attached Form-1449 for consideration by the Examiner and for listing on any patent resulting from this application. Since the International Search Report was from the US, EPO, or JPO search authorities, copies of these references should have been supplied to the USPTO under the trilateral agreement and are believed to be in the file of the above-identified application (MPEP 1893.03(g)).

III. This IDS is being filed under

  X   37 C.F.R. § 1.97(b):

1. \_\_\_\_\_ within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 C.F.R. § 1.97(b)(1)). No fee or certification is required.
2. \_\_\_\_\_ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or certification is required.
3.   X   before the mailing of a first Office Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below; or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).
4. \_\_\_\_\_ before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. 1.114. No fee or certification is required.

It is believed that this disclosure, pursuant to 37 C.F.R. §§ 1.97 and 1.98, complies with the requirements of 37 C.F.R. § 1.56 and the Manual of Patent Examining Procedures, Section 707.05(b). If for some reason the Examiner considers otherwise, it is respectfully requested that the undersigned be called so that any deficiencies can be remedied.

There is no fee deemed necessary with this submission, however should any fee become due, the Commissioner is hereby authorized to charge the same to Deposit Order Account 500675.

Respectfully submitted,

SCHULTE ROTH & ZABEL LLP  
Attorneys for Applicants  
919 Third Avenue  
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(212) 756-2000

Dated: November 11, 2003  
New York, New York

By: Anna Vishev  
Anna Vishev  
Reg. No.: 45,018

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.

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